

ESPA Ethics Assessment Form

This assessment form must be completed by the Principal Investigator. The assessment addresses many of the *procedural* issues (e.g. obtaining consent and managing data) that are a part of ethical research. It does not, however, include the broad spectrum of research *practices* that are also involved in research.

If the research has been ethically reviewed by another body please tick the appropriate box below and append a copy of the ethics determination to this form.

| | |
|----------------------------------|--------------------------|
| Title of project: | |
| Duration: | |
| Principal Investigator: | |
| Institution address: | |
| Email address: | |
| Telephone: | |
| Co-Investigators: | |
| Ethics Self-Assessment | <input type="checkbox"/> |
| Full Ethics Assessment | <input type="checkbox"/> |
| Reviewed by external body | <input type="checkbox"/> |
| | Please state: |

- Check List:**
- I have read the appropriate Guidance Notes
 - I have completed all relevant check boxes
 - I have included a research abstract
 - I have completed the Additional Statement box (where appropriate)
 - I have appended all relevant documents
 - I have appended a Permission Letter (where appropriate)

Signature of Principal Investigator*:

Date:

The completed form (along with additional documents) should be sent to the ESPA Ethics Committee Administrator at [email address].

| | |
|-------------------|--------------------|
| Office Use | Reference number: |
| Date received: | Sent for review: |
| Determination: | Notification sent: |

* Electronic signatures/ typed names are accepted

Research Abstract/Summary

Please include a 250-500 word research abstract/summary. This statement should include a summary of the research methods and techniques.

1. Legal, and Moral Responsibilities, and Codes of Conduct

This box must be completed for all research projects.

- a) Do any special conflicts of interest arise between the researchers, funding bodies, the institution, and/or research subjects/environments? YES NO
- b) Is the research compliant with the UK Data Protection Act (1998) or, if the PI is based outside the UK, an appropriate form of data protection legislation? YES NO
- c) Is the research compliant with the UK Bribery Act (2010) or, if the PI is based outside the UK, an appropriate form of bribery legislation? YES NO
- d) Separate from any legal obligations, is there a moral responsibility to provide feedback or results to the research participants? YES NO
- e) Are you aware of codes of conduct from professional associations that should guide your research? YES NO
- f) Will the research be, or has the research been, ethically reviewed in the host country? YES NO N/A

Guidance relating to legal and moral responsibilities and a sample list of relevant Codes of Conduct can be found in the Ethics Self-Assessment Guidance Notes. If applicable, include a statement on how conflicts of interest will be addressed in the Additional Statement box at the end of the form. If the research will abide by a data protection law other than the UK Data Protection Act (1998) please provide details in the Additional Statement box at the end of the form. If applicable, include a statement on why the research will not be ethically reviewed in the host country in the Additional Statement box at the end of the form.

2. Rights of human subjects

Complete this box *only* if the research involves living human subjects, or if your work requires extensive interaction with land users or other people in the course of your research. If you answer NO to any of these questions a Full Ethics Assessment is required.

- a) Is confidentiality adequately handled by normal tenets of ethical academic research? YES NO N/A

b) Are the research subjects capable of understanding their rights and of providing informed consent? YES NO N/A

c) Are the research subjects over 18 years of age? YES NO N/A

d) Will the research subjects be informed of your responsibilities to report any evidence of abuse or criminal activity regarding people under-18 years of age? YES NO N/A

e) Will research participants be informed about your obligations under the Data Protection Act (1998)? YES NO N/A

Guidance relating to subjects' rights, confidentiality, and the Data Protection Act (1998) can be found in the Ethics Self-Assessment Guidance Notes. If applicable, procedures for maintaining confidentiality and data protection issues must be addressed in the Additional Statement box at the end of the form. If applicable, please also append forms/statements that will be used to obtain informed consent and a Plain Language Statement to the end of the form.

3. Potential harm, discomfort or stress for living human subjects or non-humans

This box must be completed for all research projects. If you answer YES to any of these questions a Full Ethics Assessment is required.

a) Is there significant foreseeable potential for psychological harm or stress for those involved in your research? YES NO N/A

b) Is there significant foreseeable potential for physical harm or discomfort for those involved in your research? YES NO N/A

c) Is there significant foreseeable potential for violation of cultural or social norms/practices? YES NO N/A

d) Is there foreseeable potential for conflict or discomfort for any humans or non-humans your research will impact upon? YES NO N/A

e) Is there significant foreseeable potential for psychological harm or stress to the researcher or other members of the research team (including those recruited locally)? YES NO N/A

f) Is there significant foreseeable potential for physical harm or discomfort to the researcher or other members of the research team (including those recruited locally)? YES NO N/A

Guidance relating to the minimisation of harm, discomfort, or stress can be found in the Ethics Self-Assessment Guidance Notes. If applicable, include a statement on procedures to minimise harm or stress or to reduce the potential for violation of cultural norms and practices in the Additional Statement box at the end of the form.

4. Effect on the environment

Complete this box *only* if your research involves environmental fieldwork that involves sampling or directly monitoring a site, or if your research will involve movement in sensitive environments. If you answer YES to a, e, f, g or h a Full Ethics Assessment is required.

a) Will the fieldwork be conducted in an environmentally sensitive area YES NO N/A

b) Have the appropriate steps been taken to gain permission to access field sites? YES NO N/A

c) Does your field site require crossing sensitive or privately held land? YES NO N/A

d) Have you made an arrangement with the landowner? YES NO N/A

e) Will samples be collected and removed in sufficient quantities to have a negative physical/environmental impact on the site and/or its ecosystem? YES NO N/A

f) Will the conduct of the fieldwork significantly disrupt the site and/or its environment? YES NO N/A

g) Does the fieldwork involve sampling rare/endangered or harmful taxa/species? YES NO N/A

h) Will the research involve transporting samples/specimens/soil between countries? YES NO N/A

Guidance relating to environmental fieldwork can be found in the Ethics Self-Assessment Guidance Notes. If applicable, include a statement on how you will attempt to gain permission in the Additional Statement box at the end of the form. If applicable, append any written agreement with the land owner to the end of the form.

5. Institutional/agency consent

This box must be completed for all research projects.

a) Have permissions for research been obtained from national authorities in partner countries (as required) YES NO N/A

b) Will all researchers have appropriate permission to work in other countries, including the correct entry visas YES NO N/A

- c) Where data are, or have been, obtained from another agency, archive or source, is it clear that the intended usage adheres to their terms of supply? YES NO N/A
- d) Where other researchers' data are being used, is it clear that the intended usage adheres to their terms of supply? YES NO N/A
- e) Are issues of data handling and consent dealt with adequately and following procedures agreed with agencies, archive, and/or land managers? YES NO N/A

Guidance relating to data protection and consent can be found in the Ethics Self-Assessment Guidance Notes.

6. Collaborative working

This box must be completed for all research projects.

- a) Will the research be undertaken in academic collaboration with representatives of the host country? YES NO
- b) Will the research involve collaborating with an NGO or other non-academic organisation/group? YES NO
- c) Have you a written agreement pertaining to the collaborative relationship? YES NO N/A
- d) Will the research involve employing local field assistants (including guides and translators)? YES NO
- e) Has the local community been involved in the preparation of the research proposal? YES NO N/A

Guidance relating collaborative working and the employment of local field assistants can be found in the Ethics Self-Assessment Guidance Notes.

7. Dissemination

This box must be completed for all research projects.

- a) Will the findings be reported accurately, honestly and within a reasonable time frame? YES NO
- b) Have you reached agreements relating to intellectual property, publication and authorship? YES NO N/A
- c) Will the research findings, associated publications and, where feasible, data be made available in the country where the research took place? YES NO

d) Are publications for a wider audience planned as well as scientific papers in national and international journals? YES NO

e) Have plans been made for the dissemination of results to the study participants and local people? YES NO

Guidance relating to dissemination and intellectual property rights can be found in the Ethics Self-Assessment Guidance Notes.

8. Benefit sharing

This box must be completed for all research projects.

a) Have the potential benefits of the research beyond academic outputs been fully documented in a Pathway to Impact document? YES NO

b) Has the benefit been linked to the participants and/or local communities (directly or indirectly)? YES NO

Guidance relating to benefit sharing can be found in the Ethics Self-Assessment Guidance Notes.

9. Health and safety

This box must be completed for all research projects.

Are there any health and safety risks associated with this project? YES NO

Have you completed a risk assessment for this project? YES NO

Guidance relating to health and safety and risk assessment can be found in the Ethics Self-Assessment Guidance Notes.

10. Other approvals

This box must be completed for all research projects.

a) Is the determination of this ethical review required by any other body/organisation? YES NO N/A

If YES, by what date is a response required?

b) Does the project require the approval of any other institution and/or ethics committee which has not already been sought? YES NO N/A

If YES, by what date is a response required?

Additional Statement

If relevant, please add an explanation of how you will address the ethical issues identified above (250-500 words maximum). Full Ethics Assessments can use up to 1,000 words.

11. Issues requiring attention by the ESPA Ethics Committee

Please complete this box *only* if a Full Ethics Assessment is required.

The Directorate will convene an Ethics Committee to address any issues.

a) Are there issues which require attention by the Ethics Committee?

YES NO

If YES, please answer the following questions.

b) What are the issues requiring attention?

c) What will the project do to address these issues?

d) What will the project do to minimise the risk to the funders and the research subjects?

If the project has a more detailed ethics guidance note, please append a copy to this form.

Annual review:

As part of the Directorate's on-going management of projects, the Principal Investigator will be asked to assess this form annually and inform the Directorate of any changes. The Directorate will inform the Principal Investigator of any changes to the ESPA Ethics Guidance.

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